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ABSTRACT

A conceptual model for the preservice preparation and ongoing professional development of school administrators is presented. The model takes into account two areas identified by reformers as needing attention: the increase of collaborative efforts between universities and local school systems and the opportunity for more "clinical" learning opportunities. The model includes three dimensions: (1) academic preparation; (2) field-based learning; and (3) a newly conceptualized element referred to as "personal formation." All of these dimensions are discussed in detail, and the paper also includes a description of the ways in which the three dimensions might be incorporated into a view of one's administrative career, from preservice to entry to ongoing inservice. There could be differences in reliance on field based learning and academic preparation, but personal formation is consistently important in any professional development plan. Sixty-two references are appended. (SI)

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PROFESSIONAL FORMATION AND A TRI-DIMENSIONAL APPROACH TO THE PRESERVICE PREPARATION OF SCHOOL ADMINISTRATORS

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PROFESSIONAL FORMATION AND A TRI-DIMENSIONAL APPROACH TO THE PRESERVICE PREPARATION OF SCHOOL ADMINISTRATORS

The reform literature in American education has followed an interesting route in recent years. During the 1970s and early 1980s the primary thrust of effective schools research was directed toward identifying factors either in the school or in its external environment that appeared to be correlated with higher quality educational outcomes, typically defined as student performance on standardized achievement tests (Squires, 1980). The work of Rosenshine (1976), Berliner and Tikunoff (1976), and Berliner and Rosenshine (1978) represent researchers who provide examples of many studies conducted to determine the effectiveness of instructional activities carried out within classrooms, while work by Edmonds (1979) and Brubaker and his colleagues (1981), and most recently by Mortimer and his associates in England (1988) identified those characteristics of effective schools found beyond the realm of studies that look at teacher-student interactions.

In the past few years, efforts to find school practices related to higher student achievement have led to suggestions for reforming the preservice preparation of school personnel. Current research strives to increase the effectiveness of educational programs available for children by focusing on the restructuring of institutions traditionally charged with the responsibility for preparing teachers and administrators.

The proposals for change included in the Holmes Group Report (The Holmes Group, 1986; Case, Lanier, & Miskel, 1986), with sweeping suggestions for modifying university-based teacher preparation programs, have been viewed as the bases for a major break-through in the ways in which people are being prepared to work in classrooms. The concepts embodied in the Holmes Group Report, While by no means accepted universally as a feasible strategy for improvement, serve to

open a critical dialogue regarding the ways in which American teachers are to be prepared, with the assumption that attempts to discover new approaches are the first important steps toward establishing lasting forms of school improvement.

In 1987, the Report of the National Commission on Excellence in Educational Administration was published under the title, Leaders for America's Schools: The Report of the National Committee. Although this report has been criticized by some who have believed its recommendations not to be forceful or imaginative enough to suggest the type of revisions needed to bring about meaningful improvement in the training of educational administrators, the report did contain a clear call for certain modifications to be made in the ways in which individuals are prepared to assume positions of leadership in schools. Among the strongest suggestions was that greater attention should be placed on the discovery of ways in which universities and local education agencies might collaborate more effectively in the preparation of educational administrators. Second, the recommendation has been advanced clearly that administrator preparation programs must include more opportunities for "clinical" approaches to learning. The assumption that a period of "learning by doing" before a person moves into a professional role for the first time is alive and well in the field of administrator preparation.

In this paper, a conceptual model for the preservice preparation of school administrators is presented. The model takes into account two areas most forcefully identified by reformers as needing attention, namely the increase of collaborative efforts between universities and local school systems, and opportunity for more "clinical" learning opportunities. What is suggested here is based not only on an attempt to address some of the concerns voiced by the National Commission on Excellence in Educational Administration, but also on a research base related to issues faced by newcomers to the field of educational administration.

Research on Beginning Administrators

Relatively few recent research studies have been conducted regarding the needs and concerns of beginning school administrators. Among the works which have been completed have been small-scale studies conducted in Great Britain by Nockels (1981) and Turner (1981), along with doctoral research carried out in the United States by Marrion (1985), Sussman (1985), and Diederich (1988). A common finding, supported also by the work of Duke (1985), was that the first year of the principalship is a time filled with frustration and anxiety. As a result, preservice preparation programs must address these "real life" issues, perhaps by emphasizing earlier and more frequent interaction between local educational agencies and universities.

Another recent study of a wider scale was conducted by the National Foundation for Educational Research (NFER) in Great Britain (Weindling & Earley, 1986). This work reviewed the characteristics of the first years of secondary school head teachers throughout the United kingdom. Interviews were conducted of beginning head teachers, their teaching staffs, deputies, and administrative superiors to determine the ways in which such individuals adjusted to their first positions, and also the nature of frustrations felt by the novice administrators. In addition, the study examined such issues as the paths traditionally followed to the headship, the nature of preparation programs and activities, local education authority (school district) support mechanisms, and the relationships between the heads of schools and their management teams. Among the recommendations that were derived from the findings of this study was that beginning school administrators need to receive special consideration and support from their employers if they are to achieve any degree of true success on the job. Weindling and Earley also noted that a major problem for head teachers has been their isolation from their teaching staffs, as well as from their administrative peers. Accordingly, if improvements are to take place in preparation programs and the

socialization of people to the field of administration, ways need to be found to reduce the sense of alienation so evident in the daily lives of most school administrators (Weindling & Earley, 1987).

In another study of beginning principals, Daresh (1987) interviewed 12 elementary and secondary school principals to determine their perceptions of problems faced on the job. He found that major concerns were in three areas: (a) problems with role clarification (Who am I, now that I am a principal?), (b) limits on technical expertise (How do I do the things that "they" want me to do?), and (c) difficulties with socialization to the profession in general and also to individual school settings (What do "they" do around here?)

Most studies of beginning administrators have found a rather consistent set of themes that have obvious implications for the ways in which individuals might be better prepared to assume leadership roles in schools. It seems clear, for example, that "hands on" learning of administrative tasks and responsibilities is called for as a way to allow people to develop skill and confidence in their ability to do their work. Second, preservice preparation programs need to stress the development of strong norms of collegiality within aspiring administrators so that there can be a realization that one will rarely be effective by trying to "go it alone;" change will occur once people get their first positions and seek support from other administrators. Third, strategies must be developed to help people test some of their fundamental assumptions and beliefs concerning the nature of power, authority, and leadership well before stepping into a principalship or another administrative role. In short, enough is known about the problems faced by newcomers to the field of administration that preparation programs may be greatly improved over current practices.

A Proposed Model

There is considerable dissatisfaction with what is currently taking place in schools, and that has been reflected in the plethora

of recent reform proposals. A common view of the ways in which school practices might be improved holds that changes will occur when traditional educational roles and responsibilities are redefined, and greater emphasis is directed toward improving the image of professionalism for educators. Coupled with these observations is the recognition that many new principals will be entering the field for the first time in the next few years, and that beginning principals have special needs related to their jobs. All of this suggests that the present time calls for change in the design of preservice preparation programs. However, the general state of the art regarding the ways in which American educational administrators are prepared remains remarkably unchanged (Achilles, 1985; Daresh, 1988).

One might argue that, because excellent educational leaders continue to be prepared through existing practices, a lot of what is now taking place "ain't broke," so "there's no need to fix things." Any proposal for changing the preservice preparation of school administrators must be sensitive to the likelihood that some of what is now taking place is good, but also that it could be better with some modification. The result is the development of what shall be described here as a "Tri-Dimensional Conceptualization" for the preparation of school administrators, a model which includes Academic Formation, Field-Based Learning, and Professional Formation. Lortie (1975) suggested that there are three sources of occupational socialization: (1) formal education, (2) apprenticeship, and (3) "learning by doing." In the sections that follow, the argument will be advanced that people must be prepared for leadership roles through equal attention to strong academic programs (Lortie's view of "formal education"), realistic guided practice in the field (the "apprenticeship" and "learning by doing" components of Lortie), and perhaps most importantly, through attention to the typically ignored issue of the formation of aspiring administrators who will need to cope personally and professionally with the ambiguities associated with the responsibilities of school leadership.

Dimension I: Academic Preparation

Traditional approaches to preparing educational administrators have emphasized the acquisition of knowledge related to administrative tasks and responsibilities through the vehicle of graduate-level university courses. Depending on certain local variables, such as the requirements of state departments of education across the nation, universities offer those courses needed by individuals in order to meet minimum preparation standards. Consequently, traditional courses in such fields as school law, finance, curriculum development, personnel management, and school-community relations, along with more recent additions such as computer applications, instructional leadership, equity, and knowledge production and acquisition for administrators are viewed as critical to the skills associated with the effective administrative performance and are provided to those who seek professional licenses. There is a longstanding tradition in the United States which suggests that those who succeed in university courses are well-prepared to step into administrative roles.

Assumptions and Rationale for Academic Preparation

The reliance on university courses as a way to prepare individuals for school administration is rooted in a number of clear assumptions. Most of these are related to the value of conventional courses serving as the proper strategy to be followed in the process of assisting occupational or professional socialization, defined by Blumberg (1980) as the "process by which a person learns and performs according to the norms, values, and behaviors held to be necessary for performing a particular professional role" (p. 221). Duke (1987) has noted that formal academic preparation is the way normally utilized to carry out the professional socialization process by exposing administrators to "course content, contact with professors, practitioners, and peers" (p. 267).

Academic Preparation in the form of university-based management coursework represents an effective and efficient way that may be

utilized to assist future administrators to develop strong conceptual appreciation and understanding of a rather complex and often ambiguous field of practice. University courses are able to provide information that may be used by the administrator to address complex conceptual issues and problems for which there may not be many clear, practical, "how-to-do-it" solutions. Further, academic preparation through university courses may be viewed as a way to enable individuals to comprehend basic facts, terms, and issues of important supplements to the larger field of administration, such as law, finance, personnel, and personnel. Courses are useful in assisting people to acquire the basic "language" and knowledge base of their newly-chosen field. It is more simple, for example, to learn the basic characteristics of due process through a brief lecture in school law than it might be from many other learning sources.

The theoretical assumptions which serve as the basis for the formal Academic Preparation dimension come from a view which holds that learning is essentially the product of a process of information assimilation (Little, 1981). Here, the medium of learning is symbolic, where words or numbers are used to provide meaning to complex features of reality, and instructional techniques normally include lectures and seminar discussions. Learning takes place in classrooms and libraries. The information assimilation mode may be depicted through the cyclical model depicted in Appendix I.

Little (1981, p. 9) describes the steps of the information assimilation process in the following way:

> As a first step, symbolic information is provided about what is considered in general principle. The next step is to process bits of information (facts) so that the general principle is understood. For example, if the great principle is that solids, liquids, and gases are the forms of matter with the operational condition being the relative concentration of molecules, understanding is enhanced by the information that ice, water, and steam are all forms of the same compound. The third step is to infer the distance between the molecules and thus transform

water into steam. The final component is to apply the principle concretely--to see whether what is supposed to happen actually happens.

The traditional guardians of the Academic Preparation dimension have been members of the university faculty in educational administration. This probably makes sense because there is a need for some group to focus its attention on knowledge-production rather than knowledge-utilization. Those who live in the "Ivory Tower" are able to engage in the type of inquiry that must take place in an environment not necessarily burdened by the "noise" and daily crises found in most schools. Some group such as a university faculty must have the time to look at the broader issues that go beyond the solution of problems in the "here and now," and the best way for these perspectives to be shared with the practitioner community is through the mechanism of the traditional university course.

Limitations on Academic Preparation

Academic Preparation, particularly when defined primarily as university-based coursework, is far from a complete approach to the ways in which school administrators are made ready for their jobs. It is not possible to obscure totally some of the clear shortcomings of this practice. Perhaps the most basic problem is that, in most cases, the content of university management courses is based nearly exclusively on the choices made by university faculty acting independently as self-defined "experts" in the teaching field of their choice. The self interests of the academic community, therefore, are not only primarily served, they are virtually the only priorities that are addressed. Expertise, in the context of the university world, is defined through a professor's knowledge base alone, acquired usually through research findings. There is frequently little demonstration of practical expertise. A well-known professor might, for example, know much about personnel management, but have no skill at working with colleagues--something that would probably bar him or her from a job in the "real world." Rarely are clients (past, present or future) consulted regarding the nature of what is to be

taught through the medium of university courses. There is no attempt here to suggest that professors should make their curricular choices only through a consensus process. Rather, a value expressed here is that, at least to some extent, dialogue between practitioners and academics might yield some important insights into the ideal content to be included as part of Academic Preparation.

Another traditional drawback to university-based Academic Preparation concerns the issue of "how" the content of university courses is presented for student learning. As noted earlier, the university course traditionally makes almost exclusive use of the information assimilation model of learning. Thus, there is great reliance on the lecture, with its almost total emphasis on one-way communication from professor to students. If this large-group technique that causes students to be passive and reactive learners is modified, it is likely to involve other forms of instruction that are largely classroom-bound and oriented. Rarely do university faculty incorporate learning activities that would enable students of administration to "taste" the reality of leadership in schools. To be sure, some professors make serious efforts to expand their instruction by requiring students to interview practicing administrators, observe school board meetings, conduct community surveys, or by inviting local school practitioners to appear in classes in a type of "show and tell" arrangement. All of these represent commendable ways in which efforts are made to make classes more relevant and lively, but they are of true, lasting value only if they are tied in some thoughtful way to the instructional objectives of the classes, and if follow-up analysis and dialogue is also provided. If they are viewed as extra projects that are assigned to students out of some vague notion that they might be "good experiences," they may be much more valuable as ornamentation than they are as vital parts of student learning regarding educational administration.

Other shortcomings of Academic Preparation based on university coursework comes from a considerable amount of criticism of this form of learning found throughout the recent literature of administrator

preservice preparation. Bridges (1977), for example, described typical leadership training programs that are university bound as failing to socialize people to the realities of leadership because, among other things, they stress the acquisition of written skills despite the fact that leaders must function in a highly "verbal" world, and they prepare prospective leaders to be "thinkers" rather than "doers." Achilles (1987) has noted other severe limitations on existing, university-directed preparation programs because such efforts rely on courses which are not:

1. ...taken in any particular sequence.
2. ...differentiated for differing degree levels (M.A. or Ph.D./Ed.D.) or levels of administration (principalship or superintendency).
3. ...designed with some type of unifying conceptual framework.
4. ...developed with an underlying reliance on learning theory (or perhaps any overarching theory base), particularly adult learning theory.
5. ...closely aligned with desired outcomes, or coordinated with the work administrators do--or should do.
6. ...typically related to rigorous evaluation, either singly, or for their contribution to a total administrator preparation program.

No doubt, other objections and limitations might be voiced regarding the quality of courses used in many administrator preparation programs. But there are values in these forms of learning as well. The critical issue here is that, if traditional university coursework is viewed as addressing but one dimension of a comprehensive and conceptually-oriented approach to the preservice preparation of school administrators, limitations might be greatly reduced, and the value of the Academic Preparation might be greatly enhanced.

Dimension II: Field-Based Learning

The current view of many reformers of preparation programs for

school administrators seems to be that the improvement of training depends on field-based and experiential learning programs for aspiring administrators. From various sources, including the National Commission on Excellence in Educational Administration (1987), Goodlad (1984), Cornett (1983), Achilles (1987), and Baltzell and Dentler (1983), comes a clear and consistent call for administrator preparation programs to stop teaching about administration and instead, direct greater attention toward helping people to learn how to administer schools. The suggestions in most proposals call for intense and meaningful internships, planned field experiences, and other forms of practica to be incorporated with increasing frequency into preparation programs. A suggestion to this effect offered by the Southern Regional Education Board (SERB) is fairly representative of many recent statements:

> Colleges need to develop programs solidly grounded in theory, but which also include some practicality. Internships, offered in full cooperation with local school districts, are one solution.

There is, in fact, a strong tendency at present to move toward preservice preparation programs that are largely field-based in nature. A recent proposal by LaPlant (1988) went so far as to suggest that universities should probably get out of the administrator preparation business entirely and turn it over to practitioners in the field. According to this view, universities should be places where people are educated (through Academic Preparation alone), not "trained" or "prepared" in ways that practitioners are much better able to do. Of course, these suggestions may raise the logical question, "If practitioners are really better prepared to train people, why don't we always see better practice out in the field after people have concluded their university coursework?" Ultimately, such discussions may have the unintended consequence of further distancing university faculty members from working productively with their colleagues in the field.

The literature provides a fairly well-defined picture of what

"field-based" programs are. Daresh and LaPlant (1986) revieved descriptions of the characteristics of programs in institutions affiliated with the University Council for Educational Administration (UCEA) and discovered the following general features:

1. Typical field-based programs are not required of all students enrolled in educational administration graduate programs, but rather, only of students seeking an administrative credential. When required, field-based activities most often occur near the end of students' planned programs.
2. Most programs operate in basically the same fashion: Students are expected to register for an academic credit-bearing course entitled "Administrative Internship," "Planned Field Experience," or some other similar title, spend anywhere from ten to 40 hours per week during a semester or academic quarter observing a practitioner who, in turn, assigns the student some tasks or projects to be carried out under his or her supervision.
3. Field-based programs normally provide academic credit, but student evaluation is of the Pass/Fail variety. Responsibility for evaluating student performance most often resides with the university faculty member who coordinates the practicum.
4. The university faculty-coordinator is usually the only faculty member in the department of educational administration who works with students enrolled in the practicum. Other than initial academic advising processes for some students, the majority of academic program faculty is not actively involved in supervising practica. In fact, in several institutions, the person responsible for supervising internships and planned field experiences is not a regular university faculty member but, rather, an adjunct clinical instructor or lecturer.
5. The duration of most field experiences is normally dictated by the length of the university's academic quarter or

semester, and not on the time required to complete an assigned project or experience.

6. Students who participate in the majority of internships or field experiences are not paid for their work. As a result, the majority of participants in field-based administrator preparation programs today are involved on a part-time basis while attempting to continue with teaching or other professional responsibilities in the same schools where they are also engaged in their practica.

Assumptions and Rationale for Field-Based Learning

Assumptions that field-based programs are a way to enhance the quality of traditional academic programs seem to be well-founded. Such programs are ways in for aspiring administrators to apply theoretical learning and develop their administrative skills and competencies. Field-based programs, in their ideal state, may be utilized to help people gain insights into the ways in which schools are actually administered, acquire and develop practical skills through participation in a wide range of daily administrative duties, and apply knowledge learned in the classroom to a real-life setting. Field-based programs are ways for students of administration to witness the practicalities associated with running schools, particularly if they are able to work with talented administrators out in the field who are also able to serve as effective role models.

Limitations on Field-Based Learning

Despite the relatively persistent emphasis on the need for Field-Based Learning programs to prepare administrators, however, some limitations derive from this form of learning, in large part when it is not combined with other models or dimensions of learning, most notably a strong background based on Academic Preparation. In the field of teacher education, many authorities have questioned some fundamental assumptions about the value of the practicum as a learning device. From Dewey (1938) to the observations of Berliner (1984), Cruickshank and Armaline (1986), and Zeichner (1985), numerous cautions have been offered that Field-Based Learning experiences

may actually be viewed as "miseducative," and that they create cognitive and behavioral traps which often close avenues to conceptual and social changes that may be warranted (Daresh & Pape, 1987). In short, Field-Based Learning programs too often may serve to prepare people only for what is at present, what it was in the past, but not what might be in the future. The field experience for preparing future educational leaders cannot be viewed in the same vein as the apprenticeship utilized in the training of plumbers and electricians who are prepared for the future by learning the time-honored techniques that have worked in the past.

In his analyses of the nature of the work carried out by school principals, Peterson (1985) concluded that there are serious restrictions on Field-Based Learning experiences as a way to prepare people to serve as future administrators:

> The principal's work...is complex and comprised of a vide range of demands and expectations. The content of learning of necessity should cover most of this complexity... Principals, like other managers, must develop the necessary skills and knowledge...in order to run an effective school. Some of these can only be learned on the job while others are best learned in a combination of formal training and on-the-job learning.

There is no effort here to suggest that Field-Based Learning experiences should not be included as a component of preservice administrator preparation programs. To the contrary, the view here is that they may be extremely powerful ways for people to learn about their craft. On the other hand, because of some of the limitations noted here, too great a reliance only on the practicum would be as unwise as attempts to prepare people for leadership roles "by the book"--only through Academic Preparation in coursework found on the university campus.

Dimension III: Personal Formation

The most important dimension of administrator preparation is the one which is rarely addressed in a very direct fashion in most existing programs. This dimension will be referred to here as "Personal Formation," and it will deal with those activities consciously directed toward assisting the aspiring administrator to synthesize learnings acquired through other sources, and also to develop a personalized appreciation of what it means to be an educational leader. As the literature on beginning administrators indicates, a major problem faced by the novice is the lack of understanding concerning what leadership, authority, power, and control mean on a very individual level. Personal Formation may be seen as a way to address this problem while also providing a person with a way of constructing a personalized moral and ethical stance that may be utilized in framing responses to a wide variety of future administrative problems.

Component Structural Elements of Personal Formation

At least five specific elements may be viewed as components of the Personal Formation dimension. These are mentoring, personal reflection, personal platform development, appreciation of alternative styles, and personal professional action planning.

Mentoring. Ashburn, Mann, and Purdue (1987) defined mentoring as the "establishment of a personal relationship for the purpose of professional instruction and guidance." Wasden (1988) has advanced this basic definition with another view of mentorship:

> The mentor is a master at providing opportunities for the growth of others, by identifying situations and events which contribute knowledge and experience to the life of the steward. Opportunities are not happenstance; they must be thoughtfully designed and organized into a logical sequence. Sometimes hazards are attached to opportunity. The mentor takes great pains to help the steward recognize and negotiate dangerous situations. In doing all this, the mentor has an opportunity for growth through

service, which is the highest form of leadership.

Mentorship is an accepted practice that has been endorsed as a part of the developmental process in many existing professional fields. As Schein (1978) noted, the concept has long been utilized in business organizations to denote such diverse images as "teacher, coach, trainer, positive role model, developer of talent, openner of doors, protector, sponsor, or successful leader." In fact, the current literature suggests that mentoring needs to be understood as a combination of most, if not all, of these individual roles (Galvez-Hjornevik, 1986). Thus, the practice of mentoring is a crucial one to be included as a component of experiential education and learning programs. Mentors are needed to help neophytes in a field find their way and make sense out of what is happening around them in an organization, and also what may be going on in their personal lives. As a result, there is considerable potential to be found in applying the concept of mentorship to the Personal Formation of school administrators.

Mentors are different from the types of role models or field supervisors who may work with aspiring administrators during other formal Field-Based Learning activities. Kram (1985), for example, noted that other terms that might be used to describe developmental relationships in work settings might include "sponsorship," "coaching," "role modeling," "counseling," and "friendship." Shapiro, Haseltine, and Rowe (1978) suggested that there is a type of continuum of advisory relationships that facilitate access to positions of managerial leadership. On one end is a "peer pal" relationship, and on the other end is the true "mentor" relationship, or the type envisioned in this Tri-Dimensional Model as an importantt part of Personal Formation (Merriam, 1983):

Peer pal-- Someone at the same level as yourself with whom you share information, strategies, and mutual support for mutual benefit.

Guide-- Can explain the system, but is not usually in the position to champion a protegee.

Sponsor-- Less poverful than a patron in promoting and shaping the career of a protegee.

Patron-- An influential person who uses his or her pover to help a person advance in his or her career.

Mentor-- An intense paternalistic relationship in which an individual assumes the roles of both teacher and professional advocate.

The types of developmental relationships described here tend to focus on the business-related concept of finding relationships that are designed primarily to foster career advancement which, in the vorld of private industry, is typically defined as moving upvard in the promotion hierarchy toverd some tangible goal as a senior regional manager position, a vice presidency, or even as the company president. Similar perspectives have been contributed to the literature on mentoring by Dalton, Thompson, and Price (1977), Anderson and Devanna (1980), and Van Vorst (1980). The type of mentoring envisioned as a central part of Personal Formation for school administrators deals more vith the concept of finding individuals vho will assist other individuals in finding vays to survive in the field.

In that capacity, individuals may begin to vork vith aspiring and beginning administrators to "shov them hov to do things" that are associated vith successful performance of a certain job. As a role model, for example, a person may be consulted by a beginning administrator as a vay to learn hov to construct a master schedule for a school in much the same vay that an apprentice carpenter may learn hov to form lattice joints after vatching this technique by a master tradesman. On the other hand, a true mentor goes beyon this function by serving as a person vho is more inclined to prod the protegee to learn hov to do something according to one's personal skills, talents, and limitations. In short, a mentor is likely to raise more questions than provide answers to the person vith vhom he or she is interacting.

Among the responsibilities and characteristics that may be suggested as ideal for those who vould serve as mentors in a profession-

al development for school administrators are the following:

1. Experience as a practicing school administrator, and recognition of effective performance in that role. (In this regard, the characteristics of an ideal mentor would be the same as those of a person who might serve as a role model in a traditional, field-based program).
2. Demonstration of generally-accepted qualities of positive leadership (i.e., such features as a sense of vision, intelligence, and the ability to communicate effectively with members of the organization.
3. Ability to "ask the right questions" of the protegees with whom they are working, and not just give the "right answer" in all cases.
4. Acceptance of "other ways of doing things," and avoidance of the tendency to tell protegees that the only way to do something is "the way I've always done it."
5. Expression of the sincere desire to see protegees go beyond their present levels of performance, even when that may mean going beyond the mentor's own abilities.
6. Ability to model the values of continuous self-improvement, learning, and reflection.
7. Awareness of the political and social realities of life in at least one school system. (Again, this would be a characteristic of a good field-based role model or supervisor as well).
8. Comfort with the task of working with the developmental needs of adult learners.
9. Above all other qualities, the ability to listen to others, help others clarify their perceptions, and "cause" others to reflect on the experiences they have.

Mentoring as part of the Personal Formation of school administrators is a critical responsibility, and most of the rest of professional development may be related to this element. Consequently, aperson who would serve as a mentor must possess the deep desire to

work in this capacity. Mentors may serve as role models in traditional field-based programs, or they may not be called upon to work with beginning administrators in skill development. Traditional field role models, however, are not always appropriate mentors, and no confusion should be made between these two very distinct jobs. An ideal arrangement for mentoring would involve the careful matching of individual protegees with mentors. There would be a one-to-one matching based on analyses of career goals, interpersonal styles, learning needs, and probably many other variables that might be explored prior to placing administrative candidates with mentors.

Mentoring relationships are now being shown to have important positive effects on the career development of both protegees and mentors. In a study currently being carried out, Daresh and Playko (Forthcoming) have interviewed a group of practicing school administrators who served in an innovative, experiential program for the preparation of school principals sponsored by the Danforth Foundation. Participating mentors indicated a number of benefits derived from their work:

1. They were able to understand their own professional values and methods of operating as the result of having aspiring administrators constantly seeking clarification of their practices and ways of approaching problems.
2. They experienced a sense of renewed commitment to their work, and to the potential of their positions to bring about positive change in their schools and districts.
3. They achieved a sense of satisfaction because work with aspiring administrators enabled them to refine their own interpersonal communication skills and abilities.

The tentative results of this study suggest that mentorship has a value in its own right, whether or not it serves as part of a comprehensive framework such as the one suggested here for the preservice preparation an continuing professional development of educational administrators.

Personal Reflection. A second important element of the Personal

Formation dimension is related to the development of skills related to personal reflection that may be used as a way to guide administrator performance. Reflection about one's professional performance in a role is a rather simple concept to define. As Posner (1985) observed concerning the use of reflectivity in student teaching, people would benefit greatly from their experiences if they had the opportunity to prepare for and think about those experiences before and after they occur. This theme has long been championed by Schon (1983) who has often advanced the concept of reflection as a guide to action in many professions. Again, the basic idea is simply stated, namely that the effective, reflective practitoner would be the person who realizes that, before he or she tries to solve problems, it is critical to think about the nature of the "right" problems to be solved.

In the professional development of educators, there has been a consistent recent call for adding reflection as a component for teacher candidates. As noted in the earlier discussion of the limitations on Field-Based Learning activities, such opportunities are not likely to achieve much of their promise if they are not guided properly. In an analysis of one of the drawbacks to present student teaching practices, Beyer (1984) observed that teaching candidates often learn negative behaviors in the field because they are prone to engage in "uncritical acceptance" of what they see, hear, and experience. The same danger, of course, exists in training programs for administrators who may see wholly unacceptable or even unethical practices being rewarded "in reality." Reflection, particularly if directed by a sensitive mentor, is a way to encourage the aspiring administrator to make critical judgments about the appropriateness of activities witnessed in the field. Again, referring to Beyer (1984):

> Experiences which promote uncritical replication of observed practice are antithetical to the purposes of education itself. Promoting activities...which generate such perspective is, thus, contradictory to some fundamental purposes of education as this is often understood.

Developing reflective skill is one important way to develop a sense of questioning regarding the value of certain practices and assumptions seen in the field, and this is a critical part of developing a personal professional identity.

Questions that may be used to guide the process of personal reflection and help a person to focus on what leadership is all about might include any or all of the following:

- What have I seen out in the field?
- How does what I have seen fit my personal view of what life as an administrator will be?
- Why is what I have seen important?
- What have I learned?
- What do I want to know more about?
- How can I describe what I have seen?
- In what ways can I verify my description of what I have seen?
- What is the meaning of my experience?
- How does the description and my personal meaning relate to my personalized vision of what "should" be?
- What else can be learned?
- What is the overall significance of what I have done and seen?
- Now that I have done something, so what?

As the aspiring or beginning administrator proceeds through practical, on-the-job experiences that are followed by a period of reflecting on the answers to questions such as these. it is believed that he or she will develop a much deeper understanding of administration. Another benefit of this process may be that personalized reflection may also result in a person making a deliberate decision either to leave administration, or not even go into it in the first place. That, too, would be a desirable outcome in that in may reduce the number of people who pursue careers in administration out of "accident" or some false sense of purpose, rather than as a result of a conscious and deliberate plan and design.

The way in which the concept of personal reflection might be integrated structurally into an administrator preparation program would

be through an expectation that candidates for future administrative positions, and also beginning administrators, would keep a kind of diary, or reflective log, in which they may regularly record their personal descriptions of reality and their responses to some of the questions that were listed earlier. Writing these observations down in a formal way is important because it develops skills at articulating important personal beliefs that may be of use if recalled at some point in the future.

Educational Platform Development. Another important ingredient in the Personal Formation dimension of the Tri-Dimensional Model is the preparation of a formal statement of one's own educational philosophy, beliefs, and values. Sergiovanni and Starratt (1988) have referred to this activity as the development of a personalized educational platform. In their view, every professional educator is encouraged periodically to take the time to review personal stances about important educational issues. In doing this, a person would state in a very straightforward manner the ideas that he or she espouses, in a way similar to the platform statements made by candidates running for a political office. The major difference would be that the educational platform should be designed to communicate a person's deepest and truest attitudes, values, and beliefs about education, even if these statements were contrary to the sentiments of the majority of people "out in the public."

Sergiovanni and Starratt suggest that an educational platform might include personalized responses to questions that come from the following ten major issues:

1. The aims of education.
2. Major achievements of students.
3. THe social significance of student learning.
4. The image of the learner.
5. The value of the curriculum.
6. The image of the teacher.
7. Preferred kind of pedagogy.
8. The primary language of discourse to be used in the learning

situation.

9. Preferred kinds of teacher-student relationships.
10. Preferred kind of school climate.

Clearly, there will be no absolutely "correct" or "incorrect" answers to any of these issues. However, the process of spending time to think through, and actually write out, personal interpretations of each of these items would seem to have a number of different advantages, particularly for the person moving into a new professional role. For one thing, preparing a platform statement helps in the process of Personal Formation by enabling a person to recognize some of his or her strongest beliefs (and perhaps unwanted biases as well) about significant issues in professional education. Some of the responses to the ten areas will come about much more quickly than will others. It is likely that these areas serve as place holders for concepts where there is probably the strongest allegiance to certain values. The basis of these may be truly viewed as "core" or "non-negotiable" values for an individual. A second benefit derived from this type of activity is that it may alert the individual to probable conflicts that are likely to lie ahead during the course of a professional career. In addition to individual platforms, all organizations also subscribe to, at least implicitly, strong statements of public values, usually stated as part of institutional philosophies and mission statements. When a person enjoys a deep understanding of his or her educational platform, it may be possible to tell in advance where sources of conflict are to be found in future relationships with organizations. It will never be possible to avoid these conflicts, of course, but understanding the exact sources of probable value disputes should assist most individuals in finding more effective ways of dealing with life in institutions.

An activity recommended as part of the Personal Formation dimension of administrator preparation and ongoing professional development would be to expect that ever aspiring, beginning, or continuing administrator take the time periodically to articulate as clearly as possible a personal educational platform in the way described here.

Further, there is also considerable value in sharing this platform statement with others, perhaps a mentor and other colleagues. This sharing process should be taking place with considerable regularity and frequency as a person's platform begins to emerge. This process is helpful in enabling others to gain insights into one's behavior and, perhaps even more importantly, causing the individual to be as clear as possible about the nature of personal values and beliefs. One final comment concerning personal educational platform development is that a platform is something which is never really completed. Rather, platform preparation must be viewed as a dynamic and ongoing activity carried out by every thoughtful school administrator.

Understanding Interpersonal Styles. Another aspect of Personal Formation deals with the development of an appreciation of different interpersonal styles in others, and how those differences relate to one's own predominant style of behavior. A critical skill that is needed by every successful administrator must be an appreciation for individual differences, along with arecognition of the ways in which those differences may have a profound effect on the administrator's ability to exercise his or her own preferred mode of behavior. This is important in several specific arenas in which the administrator must work. Among these are in daily communication and ongoing relationships with staff and students, the creation of teams (both teaching and management), and in school-community relations. All of these settings (and many others not specifically noted here) make demands on the educational administrator to be sensitive to the dynamics that take place in school organizations when people behave differently from one another.

Merrill and Reid (1981) suggested that the appreciation of personal styles is a basic step in developing more effective performance in any professional role. Their work is based on a number of the following fundamental assumptions:

1. People perform most effectively when they are engaged in positive interpersonal relationships.
2. A mutually-productive relationship is an asset that one

needs to work at in order to maintain over time.

3. The modification of one's approach in order to improve an interpersonal relationship does not constitute a lack of sincerity or a Machiavellian desire to manipulate other people. Quite the opposite, it demonstrates respect for another person's right to be unique.
4. One of the greatest insights in life is the mature recognition that others are at least as important in the greater scheme of things as oneself.
5. Developing a wide variety of skills and techniques for handling interpersonal relationships is a highly desirable objective.
6. A certain amount of effort is required to develop new skills, and this effort is good in the sense that it represents a type of intense personal growth.
7. Those things that are out of one's control may be attributed to any source one desires, but controlling what can be controlled--one's own activities and actions--need not contradict one's beliefs and personal platform.

In many ways, the suggestion that an aspiring or beginning school administrator would do well to learn how to appreciate and understand their own and others' interpersonal styles is an important complement to the idea of the platform development. Here, the administrator develops an understanding of the ways in which his or her values must relate to other platforms that will be found among the people who work in the organization. It is suggested, therefore, that a well-developed administrator preservice preparation and professional development program would do well to include formal training in the analysis of interpersonal styles and psychological types (Coulson, 1987).

Among the types of activities that might be included as part of this emphasis on the analysis of interpersonal and other styles might involve the use of such instruments and inventories as the Myers-Briggs Type Indicator (Myers, 1962), or a learning style instrument

such as Kolb's Learning Style Profile (1976).

Personal Professional Action Planning. The final element in the Personal Formation is the articulation of a statement regarding one's overall personal professional development. This represents the activity of putting all of the insights gathered from the first two dimensions (Academic Preparation and Field-Based Learning) together with insights derived from the activities of mentoring, personal reflection, platform development, and style analysis into a single, coherent action plan. It is at this point that the administrator (or future administrator) is encouraged to indicate where he or she believes that additional work is needed in order to become more effective. This is where one of the greatest potential benefits of Personal Formation--the synthesis of learning--may occur. In addtion, the most desirable objective of any learning activity, namely the acceptance of control over learning by the learner, may take place in this activity. As a result, this may truly be seen as a pivotal moment in either a preservice preparation program or an induction program for beginning administrators because it is truly at this point where the inexperienced school administrator is "cut loose" from the preparation program and told that he or she must plan and take responsibility for learning what will make sense throughout a professional career.

While Personal Professional Action Planning might be seen as the culminating activity of a preparation or entry year program, it should be woven in as a continuing part of a solid sequence of activities designed to address administrator professional development needs. From the beginning of a future administrator's first university course in educational administration, there should be an explicit statement of the need to accept personal responsibility for translating course content into individual action. In fact, each of the dimensions of the Tri-Dimensional Model presented in this paper may be seen as simultaneously occuring to what goes on in the other features of the Model. Personal Formation must be taking place while Academic Preparation is going on, and Field-Based Learning should be

taking place to enhance Academic Learning and clarifying Personal Formation. The simultaneous nature of these three dimensions is depicted in the triangular diagram presented in Appendix II.

Assumptions and Rationale for Personal Formation

The inclusion of an emphasis on Personal Formation as part of a preservice preparation program for school administrators is based on two fundamental assumptions. These are that beginning administrators rarely have the opportunity to do much more than respond to crises in a reactive fashion and have little time to engage in a review of their personal priorities, and second, that people, as adults, need to learn in ways other than through the traditional information assimilation model used in university courses.

With regard to the first issue, the suggestion was made earlier in this paper that an important source of information that deserves to be consulted by those intent upon changing the nature of preservice preparation programs is the body of research on beginning administrators and their problems. While there is not a great volume of information available through this source, what is to be found is fairly clear in terms of repeated issues. Novice school administrators have trouble with knowing exactly how to do things on the job, to be sure. However, most beginners find ways of coping with this lack of technical skill knowledge rather quickly when faced with this problem on the job. People almost intuitively seek advice and counsel from others in the organization--other principals, experienced teachers, or school secretaries--to "learn the ropes" when they are first hired. The aspect of "coming on board" as a new principal which is rarely addressed in any structured way is the appreciation for the personal demands that must go along with the title of "principal" or "school administrator." There are rarely opportunities built into preparation programs for aspiring administrators to think about their personal perceptions and understandings of what it means to be "The Boss." As a result, there is a serious problem with culture shock that is experienced by most, if not all, administrators when they take on their first positions. Many people never recover

from this initial shock. Adding the component of Professional Formation to a preservice prepration program for school administrators may be a way in which this initial trauma for beginners can be reduced. It may also serve as a mechanism that will be used by aspiring administrators to determine that they are not truly as interested in a life in administration as they once believed that they were. Such self-selection out of school administration can be viewed as something that is quite positive as well.

The second source of rationale for the concept of Personal Formation serving as an added feature of preservice administrator preparation stems from the fact that this dimension has a likelihood of adding an entirely different perspective to the predominant learning theory used in preparation programs. As noted earlier, existing administrator preparation programs tend to place considerable emphasis on the use of Academic Preparation as the primary preservice learning experience, with a hint of Field-Based Learning tossed in for good measure. These traditional approaches, then, tend to make almost exclusive use of the information assimilation mode for learning by students. The introduction of Personal Formation into a preservice preparation program makes it possible to think in terms of yet another approach to learning, namely experiential learning. A diagram of this conceptualization, as described by Kolb, is presented in Appendix III. The significant difference in this approach to learning, as contrasted with information assimilation alone, is the fact that ex-periential learning places much emphasis on the ability of the indi-vidual learner to control his or her own learning activities through a cycle of learning by doing, reflecting, formulating individual responses and understandings, followed by further experiences. This model is in harmony with the prevailing assumptions found in current descriptions of adult learning (Bandura, 1978), and is a very appro-priate addition to programs designed to prepare adults to become school leaders.

Limitations on Personal Formation

The clear purpose of this paper has been to argue in favor of

including a Personal Formation dimension to preservice programs for the preparation of school administrators. However, it should also be noted in fairness that there are some limitations on this view as well.

The most significant drawback to the concept of Personal Formation for school administrators may be found when this approach becomes used as a replacement for all other dimensions traditionally included in preparation programs. It might be tempting in some quarters, for example, to suggest that the way to inprove administrative preparation is to remove the universities from the business entirely, and to let practitioners handle all training. The argument might be advanced that the only way to learn about administration is to learn "at Nellie's Elbow," or out in the field. Personal Formation offers a tempting addition to this approach by saying also that people need mentors to assist in their experience-based learning. The problem with this perspective--a blend of Personal Formation and Field-Based Learning alone--is that there is no room in this approach for people to learn basic concepts and principles of administration. Further, without a basis in strong Academic Preparation, there is likely to be little or no exposure to recent research on administrative practices. The suggestion advanced here is that Personal Formation makes sense as an addition to existing administrative preparation programs, but not as a complete replacement for much of what is already taking place.

Balancing the Dimensions

Throughout this paper, a Tri-Dimensional Model for the preservice preparation and ongoing professional development of school administrators has been described as a way to address more directly some of the perceived shortcomings of many present efforts to prepare and support educational leaders. The most significant departure from conventional approaches was the addition of the concept of Personal Formation.

The discussion of possible applications of the Tri-Dimensional Model that has taken place here has centered almost exclusively on preservice preparation for administrators and, to a lesser extent, on possible ways in which this model may serve to enhance entry year, or induction, programs for administrators. However, the component elements of Academic Preparation, Field-Based Learning, and Personal Formation may also serve as the basis for an even more comprehensive approach to administrator professional development, an approach that would also take into account the need to address the inservice education learning needs of practitioners who have been in the field for a long time. In this section, a description will be offered for the ways in which the basic conceptual framework of the Tri-Dimensional Model may be utilized as part of the continuing professional development of all future and present school administrators.

The basic plan for a comprehensive plan for administrator professional development is based on the initial view that holds that "professional development" consists of three phases of one's career. These are preservice preparation, induction, and inservice education. In this description, preservice preparation consists of all those phases of a person's career path that take place prior to initial job placement. As a result, recruitment, selection, training, licensure, and placement into a first job are all components of the preservice preparation phase for administrators. In short, it is everything that takes place as a person leaves the classroom (or some other professional role) and learns about administration, becomes qualified for an administrative job, and then steps into that role.

Induction may be defined as the period in a person's career when he or she is first taking a new position in an organization, under a new role definition. It is frequently assumed that induction consists of an individual's first year in a new job. However, the process of induction, or moving into a new role, can clearly be understood as something that is not necessarily concluded after one year. Induction may take several years to complete, depending on the conditions in the organization in which one finds a first job, the nature

of the role, and the characteristics of the individual beginning administrator. Many people move through the induction phase in less than one year. Others take several years to move beyond a novice role.

Inservice education consists of learning opportunities that are provided to an individual while he or she is actually engaged in a job. These opportunities may be directed specifically at assisting a person to perform the duties of a particular job more efficiently or effectively, or they may be directed toward the personal growth and development of the person performing a job, regardless of the expectations of the job.

All of the features of the Tri-Dimensional Model may be included in all phases of ongoing professional development. What differs, of course, may be the relative strengths of Academic Formation, Field-Based Learning, and Personal Formation as a person moves from preservice preparation to induction to inservice education. The diagram shown in Appendix IV is an effort to depict the likely relative balance of the different dimensions in each of the phases.

It is assumed, for example, that when a person first enters the field of educational administration (preservice preparation), he or she will have very little basic information concerning the nature of school management. What is administration? How does one define the concept of "plenary power?" What are the constitutional bases for the systems of public education that are found in the 50 states? These are examples of the kinds of issues that are fundamental to any appreciation of the concept of educational management in this country. They are best learned through fairly straightforward strategies in classrooms, or through reading, or through other methods that comprise Academic Preparation as defined earlier in this paper. As the diagram in Appendix IV suggests, the majority of one's learning at the earliest phases of preservice preparation might involve heavy emphasis, if not exclusive reliance, on Academic Preparation.

As a person progresses through the phases of his or her career, it is increasingly likely that learning will occur more frequently

from an experiential base. As one learns a field more completely through Academic Preparation, it is increasingly likely that experience in the field (i.e., Field-Based Learning) will have more true relevance. For example, after one has a fundamental idea of what "formative evaluation of teachers" might be, it is more likely that witnessing a clinical supervision conference will make more sense. Again, the diagram included at the end of this paper shows an increasing reliance on Field-Based Learning throughout the three phases of a career. Note that, while Academic Preparation decreases throughout a career and Field-Based Learning increases, there is never a point where either of these dimensions disappears entirely. Even the newest beginner to preservice preparation can learn experientially, and even the most experienced administrator should read a book or attend a lecture to learn about his or her field.

The dimension that tends to remain constant throughout all phases of a person's career is Personal Formation. The need to engage in reflection, thinking about personal ethical stances, and commitment to a profession is constant and necessary, whether one is engaged in preservice preparation, entering the field for the first time, or moving through one's career. The issues that might be considered differ, of course. It is unlikely that the beginning administrator's lack of understanding of what it means to be "The Boss" will be relevant for a ten year veteran of the principal's office. But moral dilemmas that require one to examine personal value systems are to be found at all points in a person's professional life. Even mentoring might be seen as a consistent activity from preservice to inservice. Again, the nature of collegial supportive relationships will change with experience, but more time on a job does not make a person less likely to profit from having an understanding and patient colleague available while on the job.

What needs to be done, of course, is to examine further the assumptions concerning the relative potencies of each of the dimensions at different career phases. What is certain, however, is that Academic Preparation, Field-Based Learning, and Personal Formation will

be a part of every administrator's professional life.

Summary

In this paper, a model was presented to suggest a scheme that may be followed for a comprehensive approach to the preservice preparation of school administrators. The model included three dimensions: Academic Preparation, Field-Based Learning, and a newly conceptualized element referred to as Personal Formation. This third dimension was described as a needed missing element from earlier reform proposals. It is suggested as important because it is in this dimension that one begins to synthesize the material learned through more traditional sources in preparation programs. It is through this synthesis, too, that one forms a personal understanding of administration. In turn, it is noted here that the lack of such a personalized understanding and vision is frequently one of the major contributors to failure on the job as a beginning administrator.

The paper also includes a description of the ways in which the three dimensions might be incorporated into a view of one's administrative career, from preservice preparation to entry to ongoing inservice. The relative reliance on Field-Based Learning and Academic Preparation may differ, but Personal Formation is a consistently important ingredient in any professional development plan.

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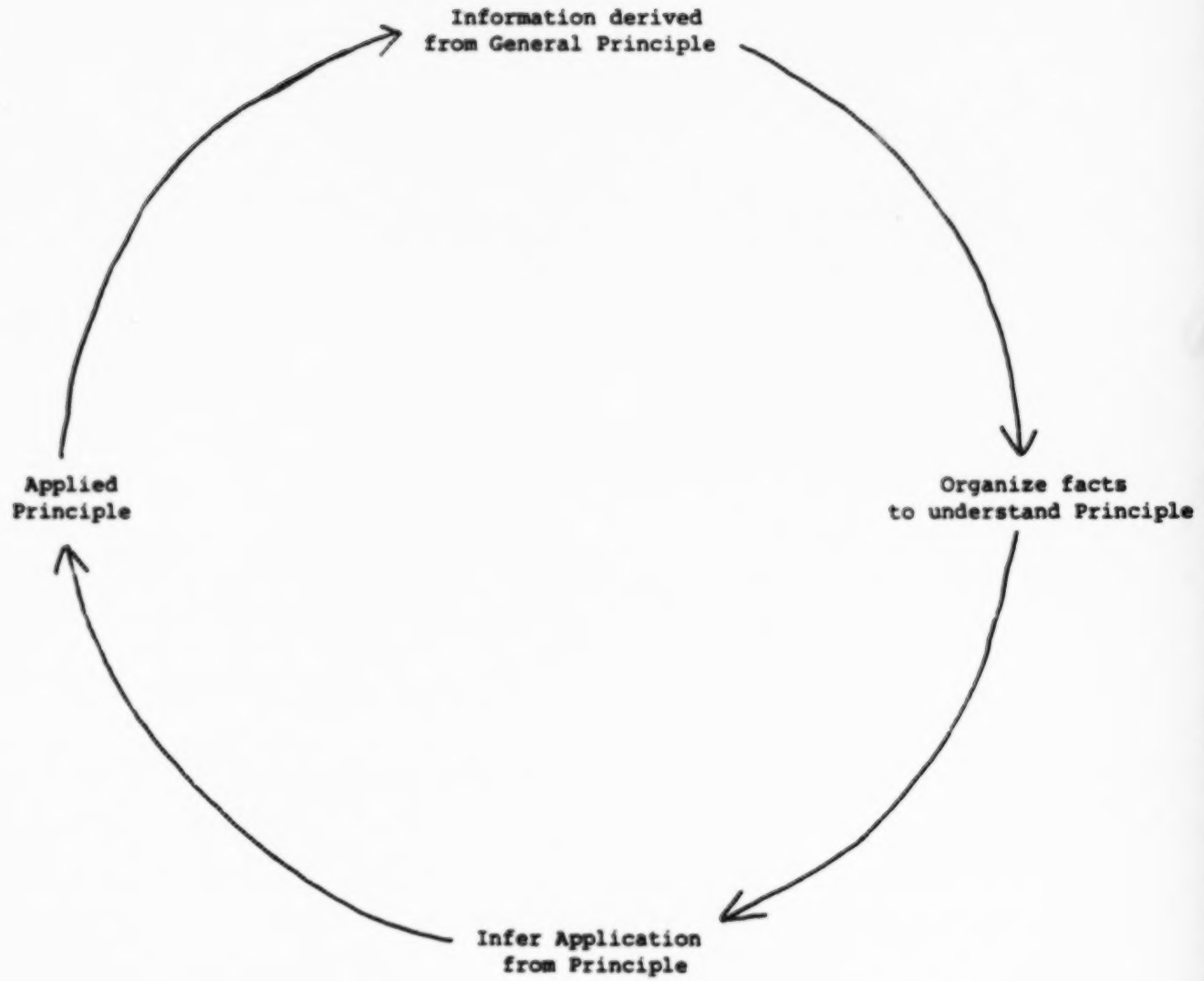
APPENDIX I



Information Assimilation Model of Learning

APPENDIX II

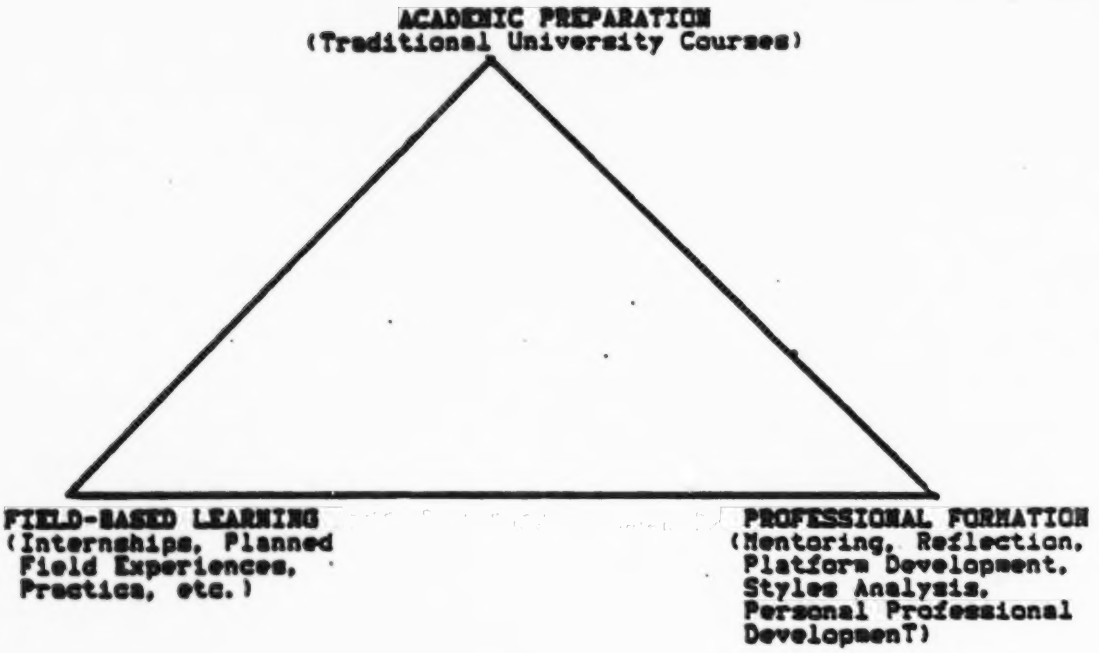

ACADEMIC PREPARATION
(Traditional University Courses)
FIELD-BASED LEARNING
(Internships, Planned Field Experiences, Practica, etc.)
PROFESSIONAL FORMATION
(Mentoring, Reflection, Platform Development, Styles Analysis, Personal Professional DevelopmenT)

Diagram representing the Tri-Dimensional Model of Administrator Preparation.

APPENDIX III

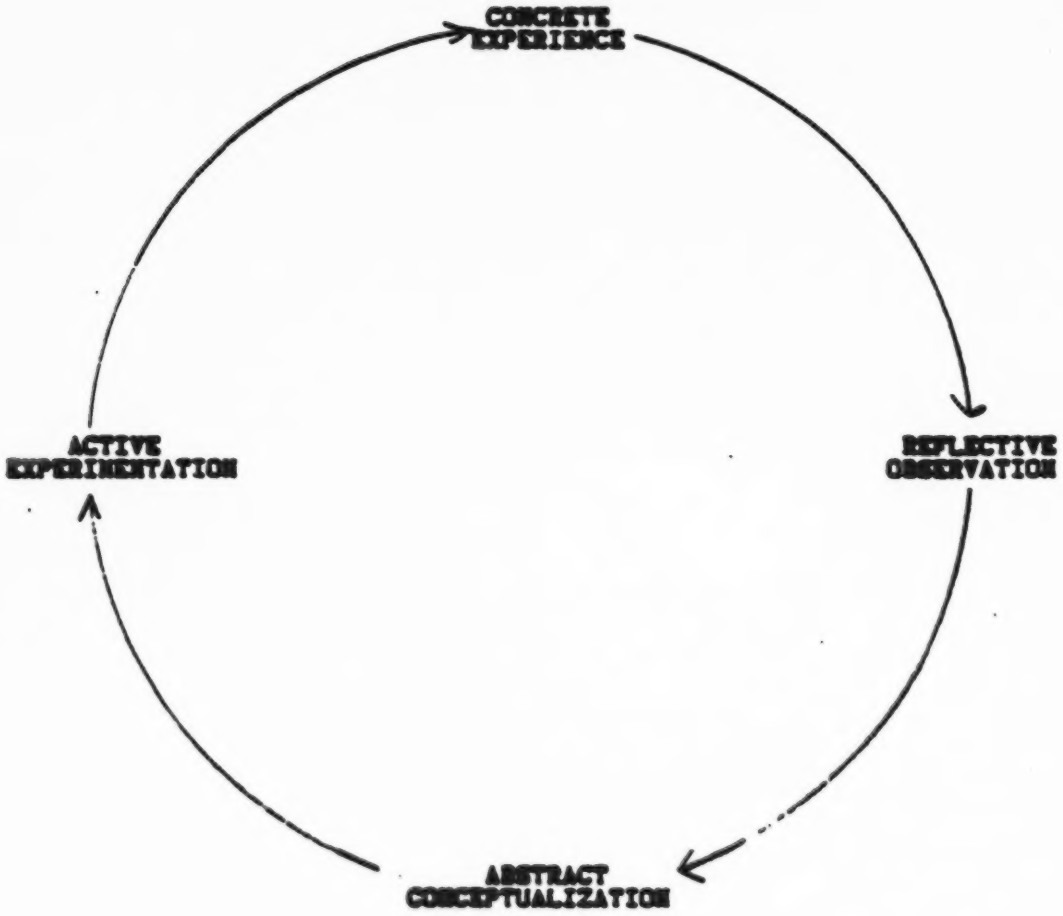
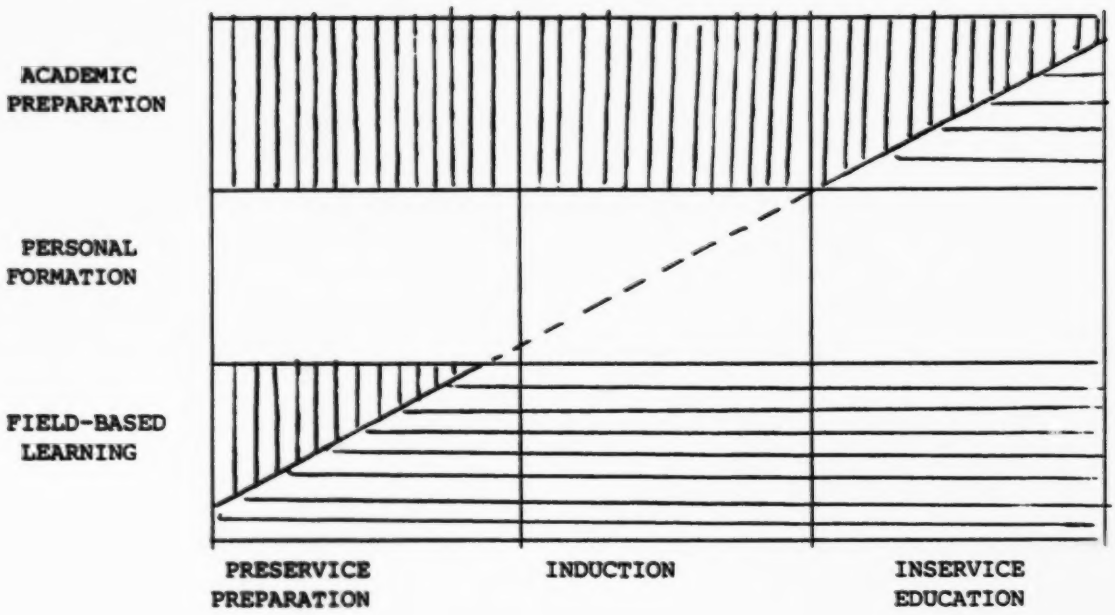


Illustration of the cyclical nature of Kolb's Model of Experiential Learning.

APPENDIX IV



Diagrammatic representation of the relative amounts of the three dimension elements of Professional Development that may be needed at three phases of an administrative career.